

United States District Court  
for the  
Southern District of New York  
Related Case Statement

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Full Caption of Later Filed Case:

XY Planning Network, LLC; and Ford  
Financial Solutions, LLC

Plaintiff	Case Number
vs.	1:19-cv-08415
United States Securities and Exchange Commission; and Walter "Jay" Clayton III, in his official capacity as Chairman of the United States Securities and Exchange Commission	
Defendant	

Full Caption of Earlier Filed Case:

(including in bankruptcy appeals the relevant adversary proceeding)

STATE OF NEW YORK, STATE OF CALIFORNIA,  
STATE OF CONNECTICUT, STATE OF  
DELAWARE, DISTRICT OF COLUMBIA, STATE  
OF MAINE, STATE OF NEW MEXICO, and STATE  
OF OREGON

Plaintiff	Case Number
vs.	1:19-cv-08365-VM
UNITED STATES SECURITIES AND EXCHANGE COMMISSION; and WALTER "JAY" CLAYTON III, in his official capacity as Chairman of the United States Securities and Exchange Commission	
Defendant	

## Status of Earlier Filed Case:

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Closed

(If so, set forth the procedure which resulted in closure, e.g., voluntary dismissal, settlement, court decision. Also, state whether there is an appeal pending.)

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Open

(If so, set forth procedural status and summarize any court rulings.)

The complaint was filed on 09/09/2019.

Explain in detail the reasons for your position that the newly filed case is related to the earlier filed case.

Both cases allege that the final rule of the United States Securities and Exchange Commission published at 84 Fed. Reg. 33,318 (July 12, 2019) violates the Administrative Procedure Act, 5 U.S.C. §§ 701-706.

Signature: /s/ Jonathan E. Taylor  
Gupta Wessler PLLC

Date: 09/10/2019

Firm: \_\_\_\_\_